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| February 20, 2004 | Luci M. Arevalo | <i>Luci M. Arevalo</i> | February 20, 2004 |
| Date Mailed | Name | Signature | Date |

Attorney's Docket No: 42P18527

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of:

Michael S. Salib

Examiner: Not Yet Assigned

Serial No: Not Yet Assigned

Art Unit: Not Yet Assigned

Filing Date: Concurrently herewith

For: METHOD AND APPARATUS FOR
MODULATING AN OPTICAL BEAM IN
AN OPTICAL DEVICE WITH A PHOTONIC
CRYSTAL LATTICE

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir/Madam:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

XX 37 C.F.R. §1.97(b).

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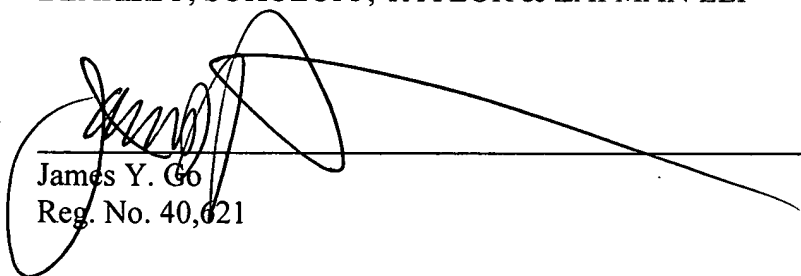
If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: _____

2-20-04


James Y. Go
Reg. No. 40,621

12400 Wilshire Blvd.
Seventh Floor
Los Angeles, CA 90025-1026
(206) 292-8600

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|---|----------------------|--|---|--------------------------|-----------------------|
| Substitute for Form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | | | Complete if Known | |
| | | | | Application Number | New Application |
| | | | | Filing Date | Concurrently herewith |
| | | | | First Named Inventor: | Michael S. Salib |
| | | | | Art Unit | Not Yet Assigned |
| | | | | Examiner Name | Not Yet Assigned |
| Sheet | 1 | of | 1 | Attorney Docket Number | 42P18527 |
| NON PATENT LITERATURE DOCUMENTS | | | | | |
| Examiner Initials* | Cite No ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | | | T ² |
| | 1. | LEONARD, S.W., et al., "Tunable Two-Dimensional Photonic Crystals Using Liquid-Crystal Infiltration," The American Physical Society, Third Series, Vol. 61, No. 4, (January 15, 2000), pp. 2389-2392 | | | |
| | 2. | SCHULLER, CH., et al., "Tunable Photonic Crystals Fabricated in III-V Semiconductor Slab Waveguides Using Infiltrated Liquid Crystals," Applied Physics Letters, Vol. 82, No. 17, (April 28, 2003), pp. 2767-2769 | | | |
| | 3. | MERTENS, G., et al., "Two- and Three-Dimensional Photonic Crystals Made of Macroporous Silicon and Liquid Crystals," Applied Physics Letters, Vol. 83, No. 15, (October 13, 2003), pp. 3036-3038 | | | |
| | 4. | LEONARD, S.W., et al., "Attenuation of Optical Transmission Within the Band Gap of Thin Two-Dimensional Macroporous Silicon Photonic Crystals," Applied Physics Letters, Vol. 75, No. 20, (November 15, 1999), pp. 3063-3065 | | | |
| | 5. | SHIMODA, Y., et al., "Electric Field Tuning of a Stop Band in a Reflection Spectrum of Synthetic Opal Infiltrated with Nematic Liquid Crystal," Applied Physics Letters, Vol. 79, No. 22, (November 26, 2001), pp. 3627-3629 | | | |
| | 6. | KEE, C.S., et al., "Tunable Complete Photonic Bands Gaps of Two-Dimensional Photonic Crystals with Intrinsic Semiconductor Rods," The American Physical Society, Physical Review B, Vol. 64, (September 10, 2001), pp. 121103-1 – 121103-4 | | | |
| | 7. | HU, X., et al., "Ultrafast Three-Dimensional Tunable Photonic Crystal," Applied Physics Letters, Vol. 83, No. 13, (September 29, 2003), pp. 2518-2520 | | | |
| | 8. | LEONARD, S.W., et al., "Ultrafast Band-Edge Tuning of a Two-Dimensional Silicon Photonic Crystal Via Free-Carrier Injection," The American Physical Society, Physical Review B 66, (October 9, 2002), pp. 161102-1-161102-4 | | | |
| | 9. | HA, Y.K., et al., "Tunable Three-Dimensional Photonic Crystals Using Semiconductors With Varying Free-Carrier Densities," The American Physical Society, Physical Review B 66, (August 9, 2002) pp. 075109-1-075109-5 | | | |
| | 10. | HALEVI, P., et al., "Tunable Photonic Crystals with Semiconducting Constituents," The American Physical Society, Physical Review Letters, Vol. 85, No. 9, (August 28, 2000), pp. 1875-1878 | | | |
| | 11. | JOHNSON, S.G., "Introduction to Photonic Crystals: Bloch's Theorem, Band Diagrams, and Gaps (But No Defects)," (February 3, 2003), pp. 1-16 | | | |
| | 12. | "Photonic Crystals," http://physicsweb.org/article/world/13/8/9 , (January 9, 2004), pp. 1-9 | | | |

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| Examiner Signature | Date Considered |
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*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²Applicant is to place a check mark here if English translation is attached.

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